



Atty. Dkt. No. 024051-0150

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Mike Burns  
Title: ELECTRONIC SPREAD TRADING TOOL  
Appl. No.: 09/880,078  
Filing Date: 06/14/2001  
Examiner: Unassigned  
Art Unit: 2164

**TRANSMITTAL OF MISSING PARTS  
OF PATENT APPLICATION**

Commissioner for Patents  
Washington, D.C. 20231

Attn: BOX MISSING PARTS

Sir:

In response to the Notice to File Missing Parts of Application mailed on August 27, 2001, in the above-identified application, transmitted herewith are the missing parts needed to complete the filing of the subject patent application.

Enclosed are:

- [ X ] Assertion of Small Entity Status (1 pg.);
- [ X ] Declaration and Power of Attorney (3 pgs.);
- [ X ] Transmittal of Formal Drawings (1 pg.);
- [ X ] Formal Drawings (9 sheets, Figs. 1-11);
- [ X ] Copy of Notice to File Missing Parts (Part 2 of Form PTO-1533)

09880078-102901

The filing fee is calculated below:

	Claims as Filed	Included in Basic Fee	Extra Claims	Rate	Fee Totals
Basic Fee				\$740.00	\$740.00
Total Claims:	54	- 20	= 34	x	
				\$18.00	= \$612.00
	5	- 3	= 2	x	\$80.00
					= \$160.00
If any Multiple Dependent Claim(s) present:				+	\$280.00
					= \$0.00
Surcharge under 37 CFR 1.16(e) for late filing of Executed Declaration and late payment of filing fee				+	\$130.00
					= \$130.00
				SUBTOTAL:	= \$1,642.00
Small Entity Fees Apply (subtract ½ of above):					= \$821.00
				TOTAL FILING FEE:	= \$821.00
				TOTAL FEE	= \$821.00

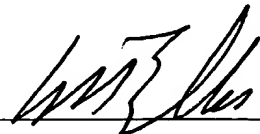
[ X ] Check in the amount of \$821.00 in payment of \$370.00 official Government filing fee; \$306.00 for 34 total claims over 20; and \$80.00 for 2 independent claims over 3 and \$65.00 surcharge fee (37 C.F.R. § 1.16(e)).

[ ] Please charge Deposit Account No. 19-0741 in the amount of \$821.00 in payment of surcharge fee (37 C.F.R. § 1.16(e)).

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

By



William T. Ellis  
Attorney for Applicant  
Registration No. 26,874

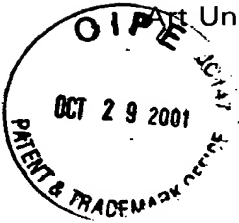
Date October 29, 2001

FOLEY & LARDNER  
Washington Harbour  
3000 K Street, N.W., Suite 500  
Washington, D.C. 20007-5109  
Telephone: (202) 672-5485  
Facsimile: (202) 672-5399

#4

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Title: ELECTRONIC SPREAD TRADING TOOL  
Appl. No.: 09/880,078  
Filing Date: 06/14/2001  
Examiner: Unassigned  
Art Unit: 2164



**ASSERTION OF SMALL ENTITY STATUS**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. §1.27 (c)(1), Applicant hereby asserts entitlement to small entity status in the above-identified application.

Respectfully submitted,

Date September 26, 2001

Trading Technologies International Ltd  
1603 Orrington Avenue, Suite 1300  
Evanston, IL 60201

By Michael S. Ryan

Name: MICHAEL G. RYAN

Title: V.P., General Counsel



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/880,078	06/14/2001	Mike Burns	024051-0150

CONFIRMATION NO. 3806

## FORMALITIES LETTER



\*OC000000006473235\*

William T. Ellis  
FOLEY & LARDNER  
Washington Harbour  
3000 K Street, N.W., Suite 500  
Washington, DC 20007-5109



Date Mailed: 08/27/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

11/01/2001 JBALINAH 00000053 190741 09880078

FILED UNDER 37 CFR 1.53(b)

01 FC:201 370.00 OP  
02 FC:205 65.00 OP  
03 FC:202 84.00 OP  
04 FC:203 4.00 CH 302.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$740 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$772.
  - \$612 for 34 total claims over 20.
  - \$160 for 2 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$1812.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

10/20/2001 JBALINAH 00000012 190741 09880078  
01 FC:201 370.00 OP  
02 FC:205 65.00 OP  
03 FC:202 84.00 OP  
04 FC:203 4.00 CH 302.00 OP

*A copy of this notice MUST be returned with the reply.*

*Sady*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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